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Module 14:
Developing a Project Logic/Results Framework

September 14, 2017

USAID Climate Change Adaptation Project Preparation Facility for Asia and the Pacific
(USAID Adapt Asia-Pacific)

Facilitator: This is the final module of the workshop. This module focuses primarily on hands-on activities associated with developing the project concept the participants have brought with them into an actual project. Because there are so many hands-on activities associated with this module, it is expected that this module will take 2 days to complete.

In this module the participants will learn the *key steps, the sequence and process of CCA project preparation* so that they can manage the process in an efficient manner in their country.

The objective is to give you a sound guide to managing the CCA project preparation process. The module will suggest the key steps involved, the contents of each step, how to involve stakeholders in each step, and will provide a proven way for pulling all the work together into a CCA project that is clear to understand and can be efficiently implemented.

At the end of this module, participants will have developed the following key skills/competencies:

- Management of project design phase steps involving consultants, including:
    - Developing a terms of reference (TOR)
    - Consultant selection
    - Management and evaluation of bids
    - Negotiating consulting agreements
    - Logistical arrangements to support the consulting team
- Steps in project preparation, with particular emphasis on:
    - Problem tree analysis
    - Objective tree analysis
    - Project development objective
    - Logistical framework
- Best practices for monitoring and evaluation
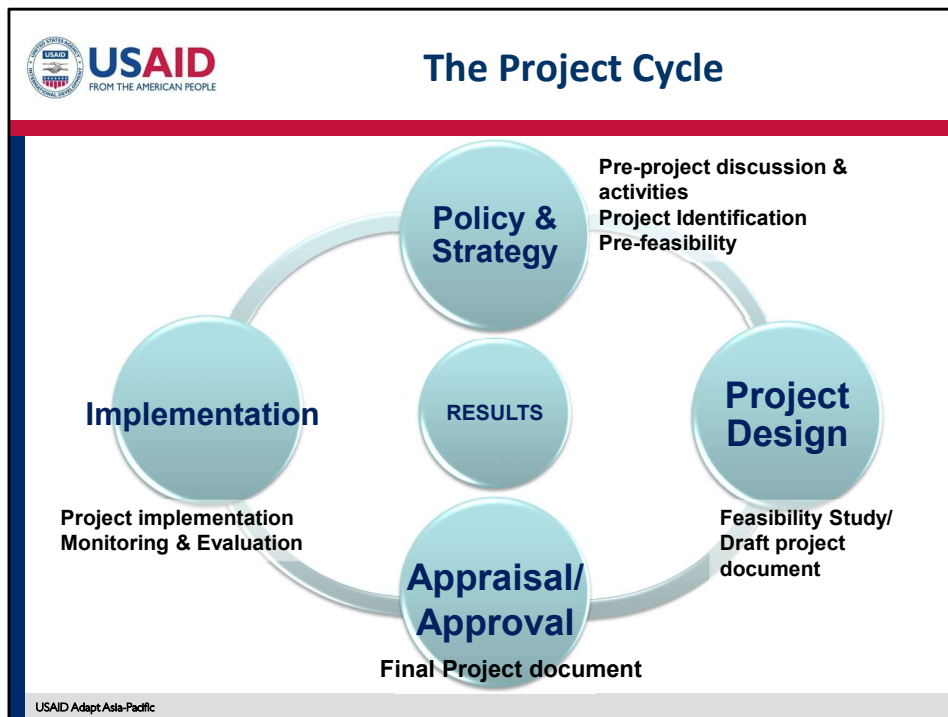
In this slide we return to the project cycle in order to contextualize the material from module 5 in the overall process of project management. Today we will be focusing on some aspects of project design, appraisal, and implementation. However, since the focus of this course is primarily on project preparation, most of our energy will focus on project design.

Session 14 Outcomes

- Understand the basic principles of project frameworks that are used in adaptation project concept notes and design

- Identify inputs, activities, outputs, outcomes, and impacts for your project

- Identify potential performance targets, data sources, and assumptions/risks for your project

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Steps in Project Preparation

Step 1 – Brainstorm "Problem Tree" with full participation

Step 2 – Develop "Objectives Tree" with full participation

Step 3 – Define which aspects are "additional" due to CC threats

Step 4 – Describe Project Development Objective

Step 5 – Develop the Results Framework or Logframe

Step 6 – Describe Institutional implementation arrangements, including procurement

Step 7 – Risk Management, Safeguards & FM control systems

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Note to Facilitator: Here are the steps in developing a typical project proposal.

Key requirements for government officials in project preparation: (i) commitment to quality of design and adequate budgets, including for maintenance; (ii) active supervision of design teams in project preparation; (iii) advice on government policies, priorities and lessons from past experience – government officials need to understand implementation realities and the causes of project failures as well as successes; and (iv) timely review of documentation and constructive feedback to achieve rigorous projects that can be efficiently implemented.

Step 1: Brainstorming a "Problem Tree"
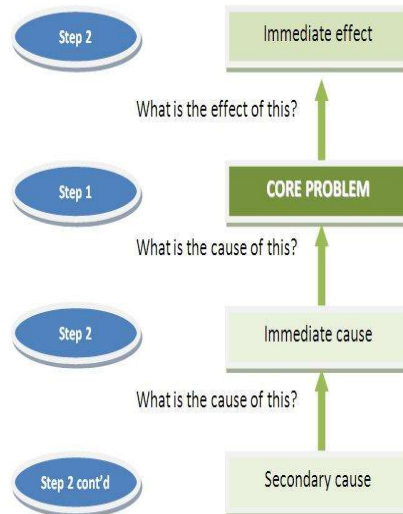
Although reference to national adaptation strategies, sectoral plans, and development plans provides an overall context for a project and a proposal, these sources normally get us only as far as defining the objectives, or the overall goal of the project. The next steps focus on analyzing the larger problem to understand the possibilities for actually achieving the objectives. In other words, you need to figure out exactly what steps go into achieving the objectives, and this involves understanding the true nature of the problem. This is easier said than done, but with a little practice, it can become fairly routine. In the next few slides we're going to step through a process for going from big picture to specific activities.

A "**Problem Tree"** provides an overview of the **causes and effects** to an identified problem. The idea is to help ensure that the project design considers the full context of the problem. It involves **identifying the core problem**, and then working together as a group to discuss the **immediate and secondary causes**, along with the **effects**. The problem tree **can help stakeholders understand and visualize the complexity of the problem** by identifying multiple causes. It can also help to **reveal lines of intervention** and other factors that may need to be tackled with complementary projects. The finished problem tree provides a starting point for defining an outline of possible solutions through the use of an "**Objective Tree**," including the activities that need to

be undertaken, the desired goal or outcomes of the project.

Key guidelines for problem trees include the following:

- They should be completed with all of the stakeholders present
- The time required varies from a couple of hours to half a day or more depending on the complexity of the problem and the diversity of the stakeholders. Also remember that a problem tree is a "living document" in that it likely will be revised over time as more information comes to light and more stakeholders are involved.

There are several steps in developing a problem tree. It can (and probably should) be repeated or "verified/confirmed" in subsequent meetings to ensure the robustness of the analysis and conclusions reached.

The **first** step of the problem tree is to settle on the core problem. As noted previously, this involves all of the stakeholders. The core problem is a simple, objective statement of the physical process that is causing difficulties. In an example case, there were two major problems:

--Frequent flooding

--Water/sanitation deficiencies.

A key point to make here is that though we are describing this as a climate change adaptation and resilience project, which is indicated by the problem of frequent flooding, the related water issue has been identified as well. In our example case there is a clear adaptation deficit, and by integrating it into the flooding project, the project planners take advantage of synergies between adaptation and broader development needs. Those are examples of **co-benefits**.

The **second** step is to identify the direct causes and direct effects. What is the obvious cause of the problem, and what are the obvious effects of the problem? In the case of Dakar, there are several obvious **causes** including:

--Heavy rains

--Overtaxed infrastructure: the city is built to accommodate 300,000 but now has 2.7 million residents

--Many people have settled in flood prone areas. This is exacerbated by a recent long-lasting drought since people have moved into areas that are historically vulnerable to flooding

--Obstruction of natural drains by urbanization.

Direct effects include:

--Increased stress and vulnerability for the urban poor

--Significant damage to infrastructure, public equipment, and private property.

The **third step** is to identify the **indirect** or "driving" **causes**. These are the broader scale (spatially and temporally) processes that are driving the more immediate causes. In developing your problem tree, you may add several layers of secondary causes, depending on the complexity of the issue, and how ambitious your project planning is. In the case of the Senegal project, some of the driving causes would include:

--Rural to urban migration (3% per year growth in city population)
--Deficiencies in urban planning
--No lead agency responsible for storm water management and maintenance.

Step 2: Develop an Objectives Tree

1. Now, reverse negative statements from the problem tree into positive ones:
   • Imagine that the problem has already been solved!
   • "Reduced fisheries capture" → "sustained fisheries capture"

2. Modify the "causes" so they lead to the desired effects
   • "Habitat changed → habitat restored"
   • Thus, root causes become root solutions
   • Convert your problem tree to an objectives tree

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The Objectives Tree is the second step after creating a Problem Tree and simply builds on the structure of the Problem Tree. The objectives tree enables participating stakeholders to describe the desired future situation. In project lingo, the objectives tree is used to generate the **desired outcome** and the **required outputs** as well as the **intended impact**. The objectives tree describes a situation after the problems have been resolved, and identifies the means-end relationship.

Now reverse negative statements from the problem tree into positive ones. The first step of developing the objectives tree is to reexamine the negative statement of the problem and change that to a positive statement. This is a participatory process, because this involves envisioning a goal that is agreeable to all stakeholders.

Modified the causes so they lead to the desired effects. Then each of the causes are changed so that they lead to the desired effect. By changing the causes the stakeholder participators are able to think about ways to bring the positive causes into being, and what practical steps should be taken. This will also help to prioritize actions. Some causes may need to be omitted, and some objectives may need to be added.

Step 3: Applying the Objectives Tree
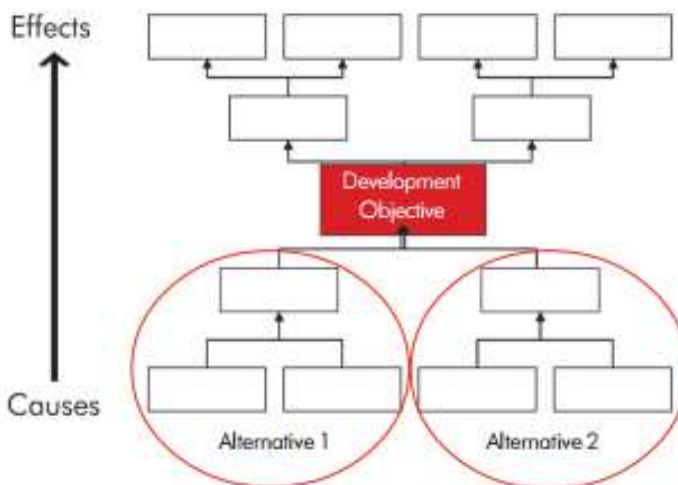
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Facilitator: After the participants have made their presentations of the objectives trees they have developed, the next step is to discuss what the objectives tree can be used for. At this point the objectives tree should be populated by general statements or objectives.

At this point in the ADB's project design framework, an "alternatives analysis" is carried out. This is sometimes referred to as a results chain analysis. The purpose of this analysis is to:

- Identify alternative means of achieving the desired situation or development objective
- Assess the feasibility of each
- Agree on a project strategy.

Ask the participants to focus on the lower portion of the objectives tree. There are a number of pathways that have been developed here. Each of these represents a way to achieve the problem-turned-objective. The alternatives analysis facilitates picking one of these pathways, which will form the foundation of our project. Note that if the original problem-turned-objective seems too ambitious, the participants may choose a lower order objective. But only one outcome should be identified for each project.

In the real-world design process, each results chain should be discussed with the appropriate stakeholders. All stakeholders need to clearly understand how moving forward with a particular chain will affect them, positively or negatively. During this analysis, it is essential to take into account whether the results chain is likely to lead to the project outcome, taking into account the available resources, capacities, interests of the beneficiaries, and political feasibility. In other words, you will develop a number of selection criteria, which might include:

- Economic
- Financial
- Socioeconomic
- Environmental
- Technical
- Institutional
- Environmental safeguards
- Other safeguards.

After you develop these criteria, do the necessary assessments, analysis, feasibility studies. Following the review of the respective assessments, decide on the most appropriate strategies to be pursued under the proposed project.

Some key questions to guide your selection might include:

- Do the actions conform to local laws, policies, and procedures?
- Are the requisite expertise and capacity available to carry it out?
- Is it affordable and cost effective, and is the necessary financing available?
- Is it socially acceptable by the target beneficiaries?
- Is it likely to result in any negative externalities that will require mitigation?
- How dependent is it on any of the other alternatives also being implemented?
- What are the major risks, and how can they be mitigated?
- What other investments and projects are ongoing or planned by the government or other organizations and institutions?

Note that the choice of objective is going to determine the choice of the implementing agency.

TIP: The ADB warns that the management team should be mindful of situations in which consultants may propose solutions they prefer or are familiar with, but which may neither be relevant to the local circumstances nor validated against desirable stakeholder criteria!

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- "Additionality" refers to additional impacts or effects of climate change above and beyond a baseline, broken down into two elements:
  - The additional risks from climate change
  - The additional cost to incorporate CCAR into a proposed project design.

- The difference between the "with" climate change and "without" it is the "additional" part to be financed.

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"**Additionality**" is the property of being "additional". The World Bank and GEF use this term to describe whether an intervention has an effect when compared to baseline conditions. For example, when discussing carbon credits (for climate change mitigation purposes), the term "additionality" means that the carbon credits lead to additional reductions of carbon dioxide emissions. In other words, it refers to the "net positive change".

To take a specific example, consider a proposal to build a road alongside a river (as is proposed for the Chao Phraya River in Bangkok). The costs of the road without taking climate change into account will include the design costs, acquisition of land, construction costs, maintenance costs, etc., using normal engineering design standards for an urban road. The benefits might include reduced travel time and congestion effects, increased property values, multi-modal transport links to river transport, and possibly reduced air pollution.

Due to expected climate change impacts, the **additional costs** could include the need to elevate the road to take into account future sea level rise and increased flood events, or changing the design to build the road on top of flood embankments, necessitating the acquisition of more land ("real options" approach). The additional benefits

obtained could include protection of riverside properties and loss of income/employment for people living nearby due to flood damage.

The net of the costs and benefits provide the justification for allocating grant funds (if available) for the climate change-related activities.

Step 5: Preparing a Project Development Objective (PDO)

A PDO should state the intended project outcomes in clear and concise language, such as:

"The development objective of the proposal is to enhance the community's adaptive capacity to be more resilient to the likely impacts associated with sea level rise and increased flooding due to climate change on a watershed-wide basis."

Avoid complicating the PDO with lots of "through" and "by" terms. Those are not objectives, but a means toward achieving an end.

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The project development objective is a short, succinct statement describing the overall goal of the project.

For a large project with multiple sub-components, the overall project objective need NOT:
- specify HOW the project activities will lead to the intended outcome
- specify a time period for project achievement;
- indicate what metric will be used to assess project success.

The World Bank/ADB, for example, provide some tips for effectively stating strategic objectives, including:
- Emphasize the results of actions, not the actions themselves. For example, instead of "reduce impacts of climate change", use "reduced impacts of climate change"
- Maintain a single focus. Multiple objectives with multiple components are challenging to manage and measure
- Test the wording to make sure it is clear. Test the wording with various stakeholders to make sure the objective is understood and not interpreted differently by different constituents.

- Specify the timeframe. The amount of time available helps determine what is realistic and feasible for a strategic objective to be achieved.

Exercise: Developing your PDO

After choosing the scope of your project concept (e.g. a cluster of objectives from your objectives tree), agree on the working of the overall goal of your project/program.
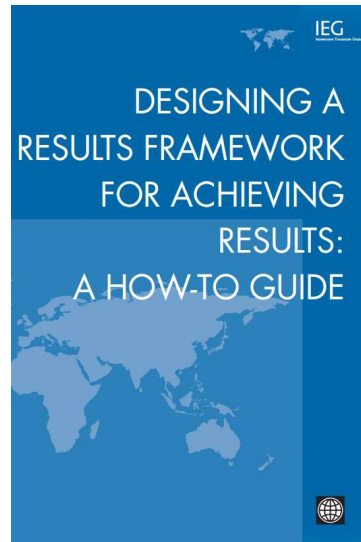
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Activity: Have the groups develop a Project Development Objective for the sample project proposal they are developing. This should take approximately 20-30 minutes; at the conclusion of this time ask each of the groups to share their statements with the rest of the groups.

Step 6: Results Framework/LogFrame

All projects need to *clearly and concisely* explain what they intend to accomplish with the funds solicited:

- Outcome & Intermediate Indicators, Targets, and Deadlines of the PDO

- Inputs & activities at base of "chain of causality" in Results Framework

- Describe how these will lead to expected outputs and outcomes -- the "means" by which the PDO will be achieved.

DESIGNING A RESULTS FRAMEWORK FOR ACHIEVING RESULTS: A HOW-TO GUIDE

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All projects need to clearly and concisely explain what they intend to accomplish with the funds solicited. This is achieved through a **results framework**. A results framework is an explicit statement of the results expected from a project, program, or development strategy. It captures the essential elements of the logical and expected cause-effect relationships among inputs, outputs, intermediate results or outcomes, and impact. It can come in the form of a graphic display, matrix, or summary. "Results framework" is a term commonly used by the World Bank; you may encounter other terms for similar processes in different agencies, including *logical framework, logic model, theory of change, outcome mapping.*

Outcome & intermediate indicators, targets, and deadlines of the PDO. The results come in the form of long-term objectives and the intermediate outcomes and outputs that preceded and lead to those desired longer-term objectives.

Can be supplemented by identifying the key behavioral assumptions for each activity. The primary value in communicating to all those involved in the project about how parts of the project are linked to outputs and outcomes. Showing activities and assumptions provides clarification to all stakeholders and makes it easier for those engaged in monitoring and evaluation to determine what parts of the project were implemented

successfully.

The image is of a World Bank publication on developing results framework that might be of interest to the participants. It can be downloaded at http://siteresources.worldbank.org/EXTEVACAPDEV/Resources/designing_results_framework.pdf.

A PDF of the guidebook is also included in the resources pack for the participants.

Project Results Framework (LogFrame)

- A tool for planning and managing projects

- Systematically presents information about the key components

- Well designed, described objectively, clearly structured, easy to evaluate

- Does not show every detail; rather the key factors only

A way of thinking about the structure of your project that is consistent with financier requirements and evaluation procedures

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A project logic framework links the goal of a project to specific outcomes. So the goal in this project might "strengthen community capacity to create local resilience activities" or "increase community resiliency by designating and implementing hazard zones for flood-prone areas".

What do we mean by resource inputs? [funding, skills, knowledge, information].

What do we mean by activities? [Specific steps that lead to changed knowledge, capacity, behavior, understanding, systems "resiliency", etc. Might include training, construction of some facility that increases redundancy or modularity in the system.]

What assumptions do we make about activities? [Implemented as designed; reach all those for whom activity was intended; those who are responsible for implementation understand and support the intent of the activity, etc.]

What are intended outputs? [# and quality of disaster reduction training sessions compared to intentions; % of intended communities/groups reached; % of plans for intended infrastructure completed, etc.]

What are intended outcomes? [# and % of project communities effectively performing climate impact management functions by 2017; climate adaptation initiatives integrated into community plans in all project communities.]

What are intended impacts? [Losses from coastal flooding in project communities reduced

by ___% by 2020 from 2013 baseline.]
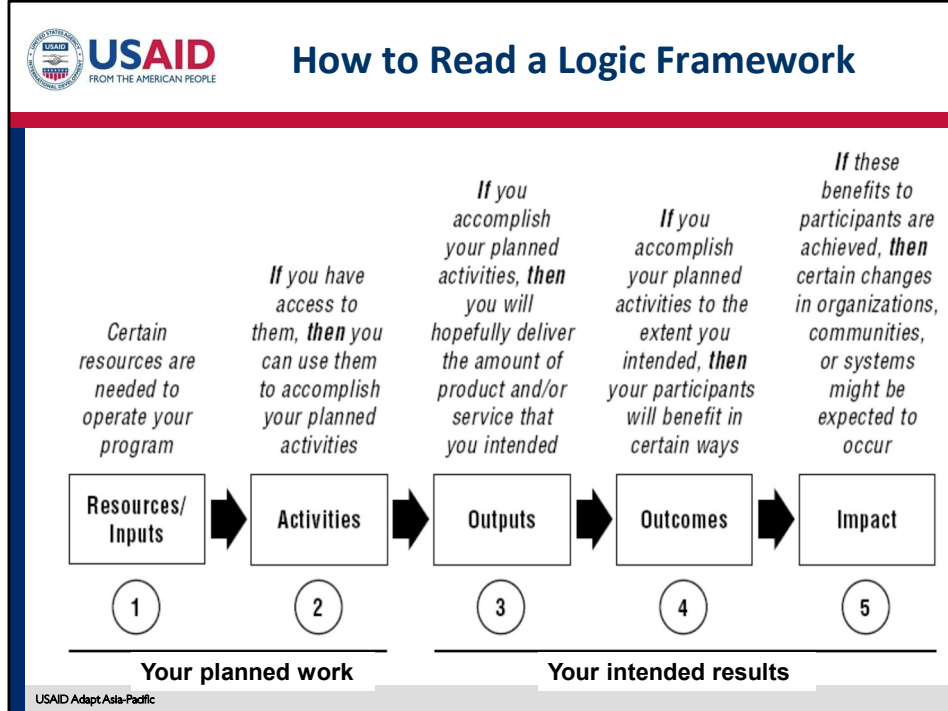
For example, if your project aims at increasing the level of education in the city, you might develop a project proposal to fund new school construction. A simple logframe might be:

1. Resources/inputs: Money, technical expertise, administrative
2. Activities: Planning designing, site selection, construction
3. Outputs: Finished buildings; how many?
4. Outcomes: Proportional increase in number of children educated
5. Impact: Broader effects; economic growth, skilled labor force enhanced, educated citizens.

You may choose to provide several examples. The key questions that are addressed in the Logframe are:

1. What is the project going to achieve?
2. What activities will be carried out to achieve the outputs and goals?
3. What resources (inputs) are required?
4. What are the potential problems which could affect the success of the project?
5. How will the progress and ultimate success of the project be measured and verified?

Source: W.K. Kellogg Foundation. 2004. **Logic Model Development Guide.** Battle Creek, Michigan**.**
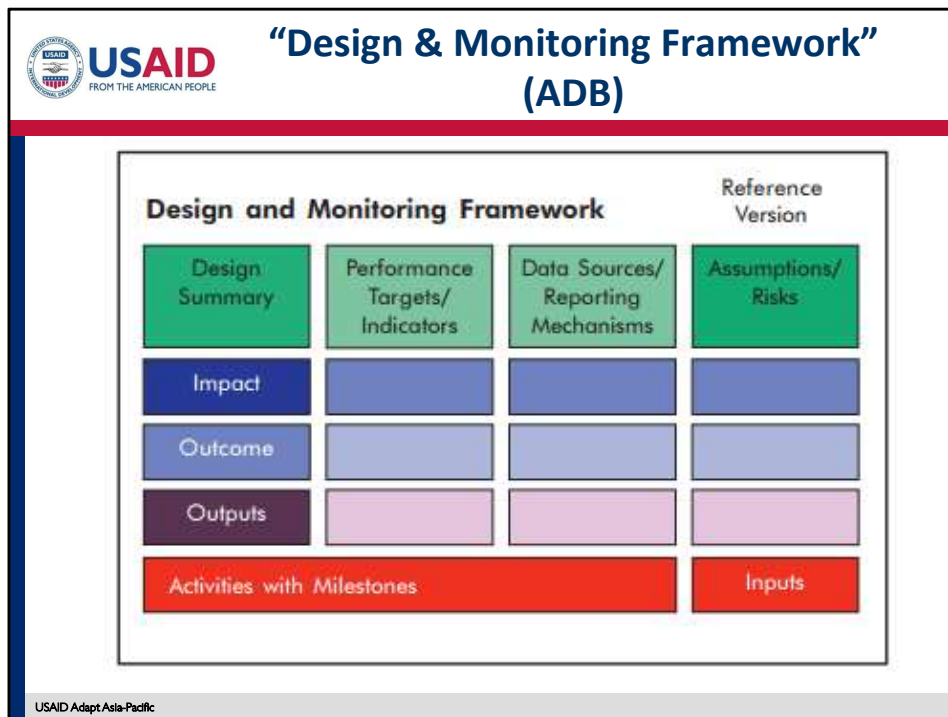
As noted, there are a number of different ways to develop a logical framework. In this module we're going to use as our model the Asian Development Bank's "Design and Monitoring Framework", or "DMF". Bear in mind that although this looks different, it is very similar to the logical framework employed by other multilateral and bilateral aid agencies.

Design summary: this outlines the main elements of the project and shows the vertical logic of the DMF, explaining the means-end relationships (AKA results chain). The vertical logic tests the soundness of the results chain by checking if the inputs are sufficient to carry out the activities, which have to be sufficient to produce the outputs. In turn, the outputs are expected to achieve the desired outcome at the completion of the project. The outcome contributes to achieving the impact.

There are 14 cells in the Design and Monitoring Framework. We're going to step through the first part, the design summary, over the next few slides.

Facilitator: At this point ask the participants to refer to the "Design and Management Framework" worksheet.
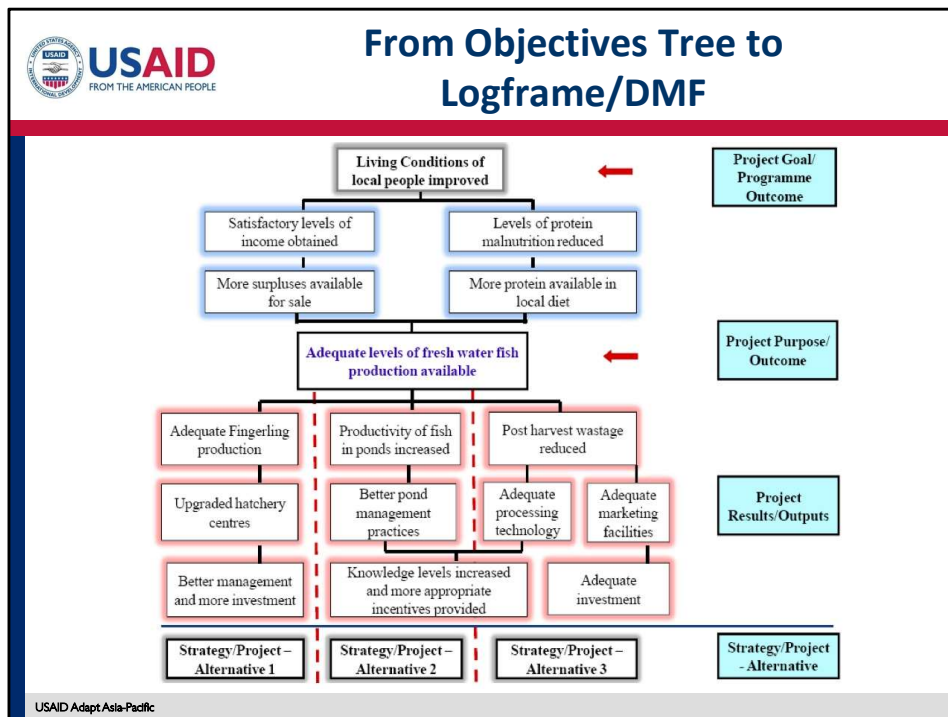
This slide illustrates a general method for transferring the results of the objective tree analysis into a logframe for a project proposal. The slide can be used as an example of the methodology that will be applied in the exercise.

The information on this slide was developed by and appears courtesy of the School of Urban and Regional Planning, University of The Philippines, Diliman.

From Objectives to DMF Matrix

1. Developing your Impact Statement

Selected Alternative   DMF

Impact
Outcome
Outputs
Activities   Inputs

IMPACT—OUTCOME—OUTPUTS—ACTIVITIES—INPUTS
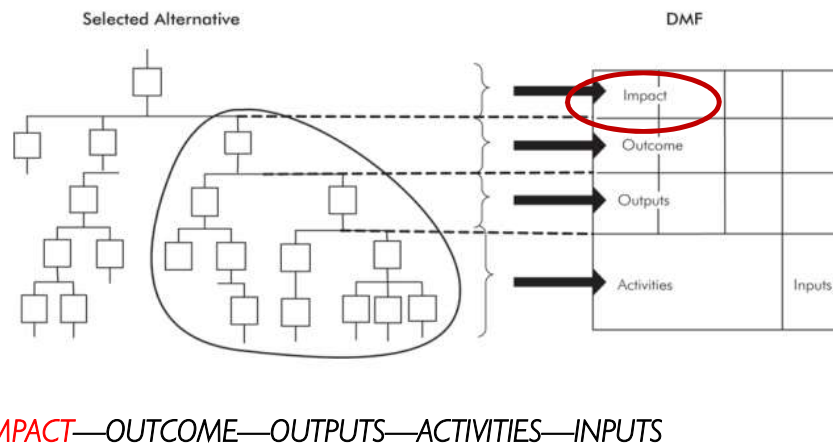
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Impact. The impact, in some cases called the "goal" or the "longer-term objective", refers to the larger objective and is generally fairly wide in scope, manifesting over the medium to long term rather than in the short term. When you are developing the impact statement, follow these guidelines:

- Ensure that there is a direct means-end relationship between the outcome and the impact
- Clearly state a desired result and do not phrase an action such as "to develop", "to contribute to", etc.
- Do not summarize the logic of the project by using connecting words such as "through", "by", or "for"
- Express the expected beneficial consequences or impact on a defined group of people, reflecting that development is about conferring benefits on people
- Describe results that can be measured.

Example Impact Statements:

"The health, nutrition, and psychosocial development of the rural populations in the 12 poorest provinces have improved".

This is a good statement of expected impact because it is short, clear, and specifies the kind of impact that is expected along with the target group of beneficiaries.

From Objectives to DMF Matrix

2. Developing your Project Outcome

IMPACT—OUTCOME—OUTPUTS—ACTIVITIES—INPUTS
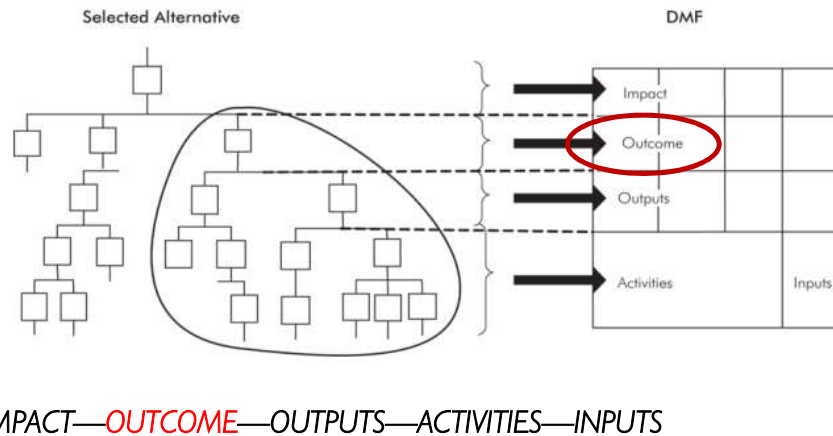
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Project outcome. The project outcome describes what the project intends to accomplish by the <u>end of implementation</u> (as opposed to the impact, which is focused on medium- and longer-term changes). The project outcome also clearly states what problem the project will address. The phrasing of the outcome statement will determine the nature and the scope of the outputs that will be necessary.

Outcome statements generally describe the change in behavior of the beneficiaries of the project, but can also describe performance changes in a system, organization, or institution.

When preparing your project outcome statement, follow these guidelines:

- Make one statement that is clear and focused. If there are several subprojects or components, these all need to be encapsulated in the same project outcome statement
- Use "change" language rather than "action" language to reflect accomplishments
- Phrase your statement as an improvement over baseline conditions (which will be described in the performance targets and indicators column)

- The project outcome should be achievable.

Examples:

"Capacity plans financed, implemented, and sustained".

"The rural populations in target provinces use improved secondary health care services".

From Objectives to DMF Matrix

3. Developing your Outputs

IMPACT—OUTCOME—OUTPUTS—ACTIVITIES—INPUTS

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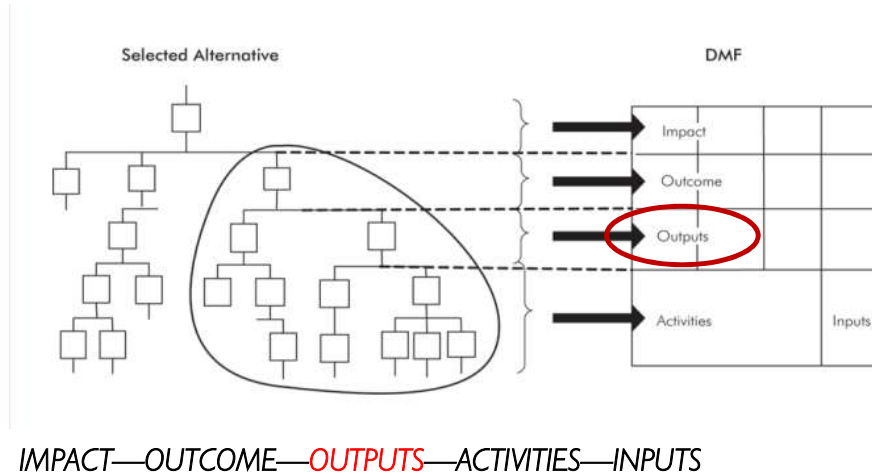
The third step in developing the Design Management Framework Matrix (and the third step in our exercise) is to decide on the **outputs**. Outputs are the physical and/or tangible goods and/or services delivered by the project and describe the scope of the project. These are the things that are needed to achieve the outcome, and so they should clearly demonstrate a "means-end" relationship.

When developing your outputs, bear in mind the following guidelines:

- Each output should be necessary to the outcome you came up with in the previous step
- Include only outputs that can be delivered by the project and are feasible with the resources available
- Components are not outputs, rather components are a collection of outputs which are grouped together for administrative and accounting purposes.

Examples include:

- Government policy on capacity development approved
- Capacity development plans finalized

- Agency leadership in place
- Agency staff skills upgraded
- Hospital staff applies newly acquired health care skills
- Improved health care infrastructure is operational
- Hospital staff applies newly acquired health care skills.

From Objectives to DMF Matrix

4. Developing your Activities

IMPACT—OUTCOME—OUTPUTS—ACTIVITIES—INPUTS
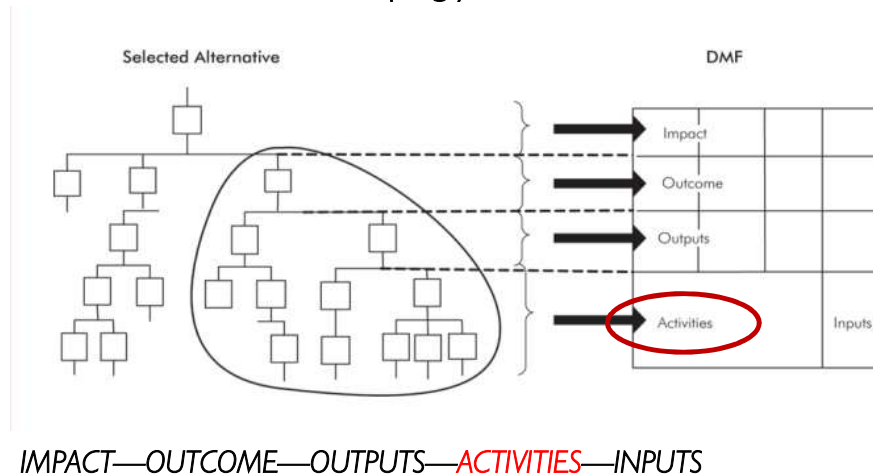
Next we come to the **activities**, which are the tasks that produce the **outputs**. These are the core activities and will eventually feed into the implementation schedule of the project.

As you create your list of activities, bear in mind the following guidelines:

- List only the activities that are the main steps in producing the outputs
- Do not restate your output as an action
- Activities should be feasible and realistic given the inputs that are available
- Include completion dates or milestones for each activity.

From Objectives to DMF Matrix

5. Developing your Inputs

IMPACT—OUTCOME—OUTPUTS—ACTIVITIES—INPUTS

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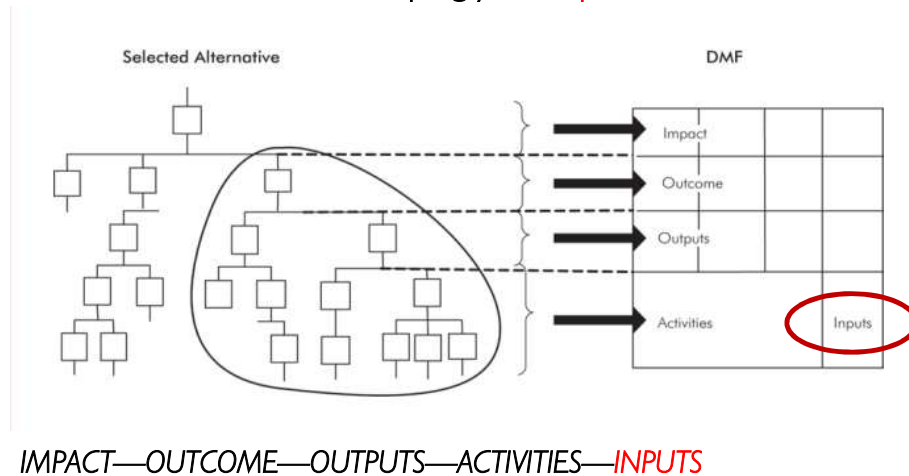
The last step in the vertical logic is the **inputs**. These are the resources that are required to implement the activities and produce the outputs. These include consulting services, personnel, infrastructure, equipment, materials, funds, etc. Inputs should be broken down according to who is contributing the input.

When compiling you inputs, bear in mind the following:

- Inputs are listed by financier or provider
- Also include in-kind contributions from relevant stakeholders.

First Steps in the LogFrame

Project Description	STATING DEVELOPMENT OBJECTIVES (INTERVENTION LOGIC)
Goal	The broad development impact to which the project contributes – at a national or sector level Statement Wording: "To contribute to…"
Objective(s)/	The development outcome at the end of the project – more specifically the expected benefits to the target group(s) Statement Wording: "Increased, improved, etc."
Deliverables/ Outputs	The direct/tangible results (goods &services) that the project delivers, and which are largely under project management control Statement Wording: "delivered/produced/conducted, etc."
Activities	The tasks (work program) that need to be carried out to deliver the planned results Statement Wording: "Prepare, design, construct, research, etc."

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Facilitator: This slide is currently hidden because it is slightly different from the ADB DMF framework that is used in this module. This slide may be useful if you decide to demonstrate a logistical framework model that differs from the ADB model.

This slide reiterates the structure of the logframe and describes some common language that is used in logframes.

The information on this slide was developed by and appears courtesy of the School of Urban and Regional Planning, University of The Philippines, Diliman.

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Completing the Logframe

	Project Description	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions/Risks
Goal	The broad development impact to which the project contributes	What are the key indicators related to the overall goal	What are the sources of information for these indicators?	What are the external factors necessary to sustain objectives in the long term?
Objectives	The development/adaptation outcome at the end of the project "increased….improved…"	What indicators clearly show that the objective has been achieved?	What are sources of information that exist or can be collected? Methods to get the info?	Factors & conditions necessary to achieve the objective (external conditions)?
Deliverables/ Outputs	The direct/tangible results that the project delivers. This is largely under management's control	What are the indicators to measure whether and to what extent the action achieves the expected results	What are the sources of information for these indicators?	What external conditions must be met to obtain the expected results on schedule?
Activities	The tasks that need to be completed to deliver the planned result	Fill this box with a summary of resources & means	Fill this box with a summary of costs	What preconditions are required before the action starts?

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Facilitator: This slide is currently hidden because it is slightly different from the ADB DMF framework that is used in this module. This slide may be useful if you decide to demonstrate a logistical framework model that differs from the ADB model.

Indicators.

Goal indicators. This measure the extent to which a contribution to the overall benefit has been made. This is done during evaluation.

Objectives indicators. These help answer the question "how will we know if the purpose has been achieved". The indicators should tell you about the quantity, quality, and time.

Deliverables indicators. These help answer the question "how will we know if the results have been delivered?" These indicators should include appropriate details of quantity, quality, and time.

Facilitator: This slide is currently hidden because it is slightly different from the ADB DMF framework that is used in this module. This slide may be useful if you decide to demonstrate a logistical framework model that differs from the ADB model.

This diagram was sourced from https://medepi.com/2013/01/29/logframe/, last accessed 3/25/2016.

Logframe Language

	Ultimate Impact	End Outcomes	Intermediate Outcomes	Outputs	Interventions	
Needs-based	*Higher Consequence*	*Specific Problem*	*Cause*	*Solution*	*Process*	*Inputs*
CARE terminology[1]	**Program Impact**	**Project Impact**	**Effects**	**Outputs**	**Activities**	**Inputs**
CARE logframe	Program Goal	Project Final Goal	Intermediate Objectives	Outputs	Activities	Inputs
PC/LogFrame[2]		Goal	Purpose	Outputs	Activities	
USAID Results Framework[3]	Strategic Objective	Intermediate Results		Outputs	Activities	Inputs
USAID Logframe[4]		Final Goal	Strategic Goal/ Objective	Intermediate results	Activities	202E
DANIDA + DfID[5]	Goal		Purpose	Outputs	Activities	
CIDA[6] + GTZ[7]	Overall goal		Project purpose	Results/outputs	Activities	Inputs
European Union[8]	Overall Objective	Project Purpose	Results	Activities		
FAO[9] + UNDP[10] + NORAD[11]	Development Objective		Immediate Objectives	Outputs	Activities	Inputs
UNHCR[12]	Sector Objective	Goal	Project Objective	Outputs	Activities	Input/Resources
World Bank	Long-term Objectives		Short-term Objectives	Outputs		Inputs
AusAID[13]	Scheme Goal		Major Development Objectives	Outputs	Activities	Inputs

Don't over-focus on the language and the variations of the various LogFrame matrix models.
The important lesson is to learn to think through projects using a logic model.

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Different organizations use different language for the various parts of the logframe, but the overall structure is similar across organizations. This table illustrates this point.

The information on this slide was developed by and appears courtesy of the School of Urban and Regional Planning, University of The Philippines, Diliman.

GCF Results Management Framework Part 1

H.1.1. Paradigm Shift Objectives and Impacts at the Fund level[1]						
Paradigm shift objectives						
Choose appropriate expected result	Please elaborate on the paradigm shift objectives to which the project/programme contributes.					
Expected Result	**Indicator**	**Means of Verification (MoV)**	**Baseline**	**Target**		**Assumptions**
				Mid-term (if applicable)	**Final**	
Fund-level impacts						
Choose appropriate expected results	*Please select relevant GCF indicators from the Fund's performance measurement framework. More than one indicator may be selected per expected impact result.*					
Choose appropriate expected results						
Choose appropriate expected results						

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The GCF uses a different format than the ADB. They don't call it a "Logical Framework" or a "Design and Monitoring Framework"; rather they refer to it as a Results Management Framework (RMF). According to GCF documentation, the GCF RMF builds on the lessons learned from the Climate Investment Funds, GEF, AF, UNFCCC programs, and bilateral donors working on climate change.

A key feature of the GCF RMF is that it focuses on the "paradigm shift objectives" of the GCF (see the top blank of this form).

Level	Description	Time required
Input level	Fund grants/concessional loans and human effort	start of intervention
Activity level	Direct services provided through Fund investments	short-term
Project/programme output level	Changes achieved as a result of project/programme outputs	short-term
Project/programme outcome level (country level)	Aggregate changes identified in country policy/planning documents	medium to long-term
Impact level (strategic level)	Aggregate changes achieved in the Fund's key strategic result areas	long term
Paradigm shift objective level	Changes achieved, i.e. all facets of society are demanding and integrating low-emission and climate-resilient approaches to sustainable development	long term (15 yrs+)

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Source: GCF 2014. Initial Results Management Framework of the Fund.
https://www.greenclimate.fund/documents/20182/24943/GCF_B.07_04_-
_Initial_Results_Management_Framework.pdf/, last accessed 1/6/17.

Logframe Example: Legazpi City, Philippines

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Performance Targets & Indicators

- Indicators describe what will be measured

    S—Specific
    M—Measurable
    A—Achievable
    R—Relevant
    T—Time-bound

- Impact level…outcome level…output level

If you can measure it, you can manage it!

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After the design summary is developed, the rest of the DMF matrix is populated with details of the project's design. The consulting team will do most of the work here, but, as we've noted throughout the course of this module, it is important to have an understanding of how this process works so that you can effectively manage it to obtain the best results from the consultant team.

On this slide we focus on **performance targets and indicators**. This includes both qualitative and quantitative indicators for measuring the progress of the project.

Indicators describe what will be measured. Remember that if you can measure something, you can manage it. Thus indicators should be measurable and expressed in numeric terms, such as quality, time, access, cost/price.

Indicators should be practical and focus on important aspects of the project only. There should be a limited number of indicators to avoid confusion and unnecessary complexity as well. And the indicators should be able to be measured cost-effectively and efficiently. Stakeholders should be involved in the formulation of indicators and setting targets.

A good way to remember some guiding principles for performance targets and indicators is via *SMART:*

- **S for Specific**. The indicators should relate to the results the project seeks to achieve.
- **M for Measurable**. The indicators should be stated in quantifiable terms.
- **A for Achievable**. The indicators should be realistic in what is to be achieved.
- **R for Relevant.** The indicators should be relevant to what is to be achieved.
- **T for Time-bound**. The indicators should be stated with target dates.

Impact level indicators. These are indicators over the medium and long term and thus should include targets beyond the scope of the project. Responsibility for measuring the impact indicators should be clearly defined up front.

Outcome level indicators. These are end-of-project indicators that describe the immediate effect of the project on the behavioral change of the beneficiaries as well as improvements to systems and institutions. The project takes full accountability to deliver these aspects, and so the outcome level indicators are the basis for judging the project's success or failure. **Responsibility for monitoring and measuring these is the responsibility of the project implementer.**

Output level indicators. These are the easiest to define. Output level indicators describe the key tangible goods and services a project will deliver. These indicators define the project management's terms of accountability that have to be achieved by the end of the project's implementation period. The project management team has the responsibility of monitoring these indicators.

In the third column of the DMF matrix the data sources and reporting mechanisms are described. These are sometimes also called "monitoring mechanisms".

Describe "Who", "Where", & "Why". Data sources include information about where information on the indicators can be obtained, who provides the information, and how information is collected. The reporting mechanism describes where and in what form the information is to be documented.

Consultant tasks include: Some key tasks that will performed by the consultant include:

- **Review in-country information systems relevant to project** to determine credibility and timely availability of the data. The consulting team will contact the monitoring units of the relevant agencies or ministries.

- **Inventory secondary sources**, including data collected and published regularly, including statistical data relevant to the project.

Gather primary data: in some cases, secondary sources relevant to the project might not be available or reliable. In these cases the consulting team may have to gather data

themselves.

Note that these tasks should be included in the consultant team's TOR!

Assumptions & Risks

- Assumptions are positive statements of condition, events, actions
- Risks are negative statements
- Describe assumptions and risks that are not under the control of the project
- Use the objectives tree to determine risks and assumptions
- Assumptions and risks should be monitored…phrase them so they can be!
- Analyze and adjust according to assumptions and risks
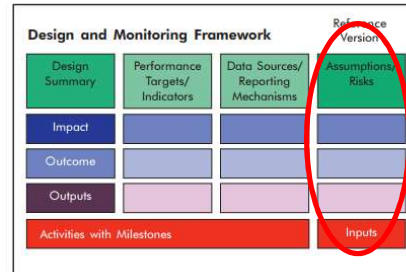
A well-designed project is one whose risks are manageable

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All projects are influenced by factors outside the direct control of the project management, including political, social, financial, environmental, institutional, and climatic. These are referred to as "assumptions and risk" and are treated in the 4th column of the DMF matrix. The ADB, World Bank and other lenders/donors require an inventory and analysis if these risks so that **mitigation measures** can be devised. Common World Bank risk categories include **operating risks**, *Force majeure,* **construction and completion risks**, **currency exchange risk**, **environmental risks**, and **social risks.**

Assumptions are positive statements of conditions, event, or actions that are necessary to achieve the results at each level of the DMF.

Risks are negative statements of conditions, events, or actions that would adversely affect or make it impossible to achieve the intended results.

There are three basic types of assumptions and risks:
- Those that are or can be brought under the control of the project
- Those that concern factors in the wider policy and institutional environment and are controlled or influenced by decision-makers elsewhere

- Those associated with uncontrollable events or conditions.

Describe assumptions and risks that are not under the control of the project. Those that are not under the control of the project are listed in the DMF. Those that are within the control of the project need to be factored into the design of the project.

Use the objectives tree to determine risks and assumptions. For each statement on the objectives tree, consider the assumptions and the risks of achieving the level above.

Assumptions and risks should be monitored...phrase them so they can be. The statements on assumptions and risks should be refined so that they are clear and not too vague. This enables the design team to figure out ways to monitor the risks and assumptions, and mitigate them in the project if necessary. Also, avoid assumptions that are unrealistic (e.g. "no inflation") or that are not critical to the cause-effect logic. The risks should also be rated so that they can be ranked.

Analyze and adjust according to assumptions and risks. Once the assumptions and risks are laid out and described, they should help to guide decisions on project design and management. The following options are available to address assumptions and risks:
- Do nothing. Do nothing if the assumptions and risks are not critical.
- Change the project design. The design team may want to add an output, activities, or inputs to mitigate the risk if it is too high.
- Add a new project. This might be a reasonable option if the possibility of addressing the risks and assumptions is beyond the scope of the project.
- Abandon the project.
- Monitor and mitigate the assumptions and risks.

Thank You! Thank You Very Much!

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